

**UTILITY
PATENT APPLICATION
TRANSMITTAL**(Only for new nonprovisional applications under
37 CFR 1.53(b))

Attorney Docket No.

2879-54 DIV

First Inventor

Steven Dow

Title

SYSTEMIC IMMUNE
ACTIVATION METHOD USING
NUCLEIC ACID-LIPID
COMPLEXES

Express Mail Label No.

EV322529416US

APPLICATION ELEMENTSMail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

1. ☒ Fee Transmittal Form
(submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27
3. ☒ Specification [74 total pages and title page]
(preferred Arrangement set forth below)
- Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R&D
 - Reference to sequence listing, a table, or a
computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure

4. ☒ Drawing(s) [30 total sheets (fig. 1-29)]5. ☒ Oath or Declaration [5 total pages]

- a. ☐ Newly executed (original or copy)
- b. ☒ Copy from prior appl. (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting
inventor(s) named in prior application,
see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

6. ☐ Application Data Sheet. (See 37 CFR 1.76)
7. ☐ CD-ROM or CD-R in duplicate, large table
or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
- a. ☐ Computer Readable Form
 - b. ☐ Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (coversheet/document(s))
10. ☐ 37 CFR. 3.73(b) Statement ☐ Power of
(when there is an assignee) Attorney
11. ☐ English Translation Document
12. ☐ IDS & Form PTO/SB/08A ☐ Copies of IDS
Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
15. ☐ Certified Copy of Priority Document(s)
16. ☐ Nonpublication Request Under 35 USC
122(b)(2)(B)(i). Applicant must attach form
PTO/SB/35
17. ☒ Other: Certificate of Mailing by Express Mail

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

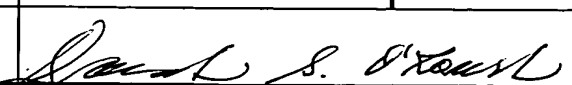
☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09/104,759

Prior application information: Examiner: Anne Marie Sabrina Wehbe Group/Art Unit: 1632

FOR CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number **25235** or ☐ Correspondence address below

Name					
Address					
City		State		ZIP	
Country		Telephone		Fax	
Name (Print/Type)		Sarah O'Rourke		Registration No.	41,226
(Signature)				Date	Feb. 5, 2004

FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$873)

Complete if Known

Application Number	Not yet accorded
Filing Date	Herewith
First Named Inventor	Steven Dow
Examiner Name	Not yet accorded
Group / Art Unit	Not yet accorded
Attorney Docket No.	2879-54 DIV

METHOD OF PAYMENT (check all that apply)

☒ check ☐ credit card ☐ money order ☐ other ☐ none

☐ Deposit Account

Deposit
Account
Number

50-1123

Deposit
Account
Name

Hogan & Hartson L.L.P.

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
770	385	Utility Filing Fee	385
340	170	Design filing fee	
530	265	Plant filing fee	
770	385	Reissue filing fee	
160	80	Provisional filing fee	

SUBTOTAL (1) (\$385)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
65	-20**= 45	9	405
Independent Claims	4	-3**= 1	43
Multiple Dependent			

**or number previously paid, if greater; For Reissues, see below

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description
18	9	Claims in excess of 20
86	43	Independent claims in excess of 3
290	145	Multiple dependent claim, if not paid
86	43	**Reissue independent claims over original patent
18	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$448)

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
130	65	Surcharge - late filing fee or oath	
50	25	Surcharge - late provisional filing fee or cover sheet	
130	130	Non-English specification	
2,520	2,520	For filing a request for ex parte reexamination	
920*	920*	Requesting publication of SIR prior to Examiner action	
1,840*	1,840*	Requesting publication of SRI after Examiner action	
110	55	Extension for reply within first month	
420	210	Extension for reply within second month	
950	475	Extension for reply within third month	
1,480	740	Extension for reply within fourth month	
2,010	1,005	Extension for reply within fifth month	
330	165	Notice of Appeal	
330	165	Filing a brief in support of an appeal	
290	145	Request for oral hearing	
1,510	1,510	Petition to institute a public use proceeding	
110	55	Petition to revive - unavoidable	
1,330	665	Petition to revive - unintentional	
1,330	664	Utility issue fee (or reissue)	
480	240	Design issue fee	
640	320	Plant issue fee	
130	130	Petitions to the Commissioner	
50	50	Processing fee under 37 CFR 1.17(q)	
180	180	Submission of Info Disclosure Stmt	
40	40	Recording each patent assignment per property (times number of properties)	40
770	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
770	385	For each additional invention to be examined (37 CFR § 1.129(b))	
770	385	Request for Continued Examination	
900	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$40)

SUBMITTED BY Complete (if applicable)

Name
(Print/Type) Sarah S. O'Rourke

Registration No.
(Attorney/Agent)

41,226

Telephone

720 406 5385

Signature

Date

Feb. 5, 2004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Steven Dow, et al.

Serial No. Not yet accorded

Filed: Herewith

For: SYSTEMIC IMMUNE
ACTIVATION METHOD USING
NUCLEIC ACID-LIPID COMPLEXES

CERTIFICATE OF MAILING BY EXPRESS MAIL

MAIL STOP PATENT APPLICATION

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Sir:

The undersigned hereby certifies that the following documents:

1. Utility Patent Application Transmittal;
2. Fee Transmittal and check in the amount of \$873;
3. Utility Patent Application (74 pages and title page);
4. Copy of executed Declaration for Utility Patent Application;
5. Copy of Assignment;
6. Recordation Form Cover Sheet;
7. 30 sheets of drawings (Fig. 1-29);
8. Return postcard; and
9. Certificate of Mailing By Express Mail

relating to the above application, were deposited as "Express Mail," Mailing Label No. EV322529416US with the United States Postal Service, addressed to MAIL STOP PATENT APPLICATION, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Feb. 5, 2004

Date

Sarah S. O'Rourke
Mailer

Feb. 5, 2004

Date

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